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09/345289
06/30/99

SUBJECT: Patent Application
Inventors: Sridhar Srinivasa Iyengar
Title: A METADATA DRIVEN SYSTEM AND METHOD FOR EFFECTING
EXTENSIBLE DATA INTERCHANGE AMONG SOFTWARE TOOLS IN A
DISTRIBUTED ENVIRONMENT
File No: 04MV1073

Dear Sir:

Enclosed herewith are the following papers comprising an application for patent as identified above:

1. Specification (26 pages)
2. Claims (3 pages)
3. Abstract (1 page)
3. Formal Drawings (6 pages)
4. Declaration and Power of Attorney
5. Assignment of Invention

Please charge the Assignment fee of \$40.00 and the Patent Application filing fee of \$760.00, calculated below, to Account No. 19-3790 of Unisys Corporation. If the calculated fee is incorrect, you are authorized to charge the correct fee.

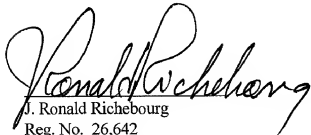
The filing fee was calculated as follows:

1.	Basic Fee	\$760.00
2.	Additional Fees	
	a. Number of claims in excess of 20, (11-20=0) 0 times \$18	0.00
	b. Number of independent claims minus 3, (3-3=0) 0 times \$78	0.00
TOTAL		\$760.00

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Correspondence is to be directed to the undersigned attorney of record, and an early acknowledgment will be greatly appreciated.

Respectfully submitted,



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Enclosures

CERTIFICATE UNDER 37 CFR 1.10: The undersigned hereby certifies that this transmittal letter and the paper or papers, as described hereinabove, are being deposited in the United States Postal Service, "Express Mail Post Office to Addressee" having an Express Mail mailing label number of EL252086373US, in an envelope addressed to: COMMISSIONER OF PATENTS AND TRADEMARKS, Washington, D.C. 20231 on this 30th day of June, 1999.



By: Carol Wasserman

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TITLE: A METADATA DRIVEN SYSTEM AND METHOD FOR EFFECTING
EXTENSIBLE DATA INTERCHANGE AMONG SOFTWARE TOOLS IN A
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CROSS REFERENCE TO RELATED APPLICATIONS:

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This patent document relates to the following patent applications, assigned to the same assignee hereof, which are incorporated herein by reference.

U.S. Serial No. 09/282,345, entitled A METHOD
AND SYSTEM FOR GENERATING A SIMPLE DOCUMENT TYPE
DEFINITION FOR DATA INTERCHANGE AMONG SOFTWARE TOOLS;

5 U.S. Serial No. 09/282,102, entitled A METHOD
AND SYSTEM FOR GENERATING A COMPACT DOCUMENT TYPE
DEFINITION FOR DATA INTERCHANGE AMONG SOFTWARE TOOLS;

10 U.S. Serial No. 09/282,230, entitled A METHOD
AND SYSTEM FOR GENERATING A HIERARCHIAL DOCUMENT TYPE
DEFINITION FOR DATA INTERCHANGE AMONG SOFTWARE TOOLS;

15 U.S. Serial No. 09/322,137, entitled A SYSTEM
AND METHOD FOR CONVERTING FROM ONE MODELING LANGUAGE TO
ANOTHER;

{1076}U.S. Serial No. 09/____,____, entitled A METHOD FOR
IDENTIFYING UML OBJECTS IN A REPOSITORY WITH OBJECTS IN
XML CONTENT; and,

20 {1083}U.S. Serial No. 09/____,____, entitled A METHOD FOR
VERSIONING A UML MODEL IN A REPOSITORY IN ACCORDANCE WITH
AN UPDATED XML REPRESENTATION OF THE UML MODEL.

25

FIELD OF THE INVENTION:

The present invention relates to a method and
system for enabling easy interchange of metadata among
repositories, modeling tools and application-implementing
30 models and meta models expressible in a meta object
framework.

BACKGROUND OF THE INVENTION:

5 The Web is the visual interface to the Internet's vast collection of resources. Today, HTML (HyperText Markup Language) is the predominant language for expressing Web pages. An HTML document comprises the textual content of the document embedded in matched display tags which specify the visual presentation of the content. A well-designed HTML document is visually
10 interesting to a human viewer when displayed in a Web browser. However, the automatic extraction of information from HTML documents is difficult since HTML tags are designed to express presentation rather than semantic information. This makes HTML a less than ideal
15 medium for general electronic interchange in the Internet.

HTML is a specific language of the more powerful SGML (Standard Generalized Markup Language), a
20 sophisticated tag language that separates view from content and data from metadata. Due to SGML's complexity, and the complexity of the tools required, it has not achieved widespread acceptance.

25 XML, the Extensible Markup Language, is a new format designed to bring structured information to the Web. It is a Web-based language for electronic data interchange. XML is an open technology standard of the World Wide Web Consortium (W3C), which is the standards
30 group responsible for maintaining and advancing HTML and other Web-related standards.

XML is a sub-set of SGML that maintains the important architectural aspects of contextual separation while removing nonessential features. The XML document format embeds the content within tags that express the structure. XML also provides the ability to express rules for the structure (i.e., grammar) of a document. These two features allow automatic separation of data and metadata, and allow generic tools to validate an XML document against its grammar.

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Unlike HTML, an XML document does not include presentation information. Instead, an XML document may be rendered for visual presentation by applying layout style information with technologies such as XSL (Extensible Style Language). Web sites and browsers are rapidly adding XML and XSL to their functionality.

The XML approach to structured data interchange has been validated through the wide experience with XML itself and with other members of the XML family: SGML, which is used in high-end document processing, and HTML, the predominant language of the Web.

XML is widely believed to be the next step in the evolution of the Web. This is demonstrated by announcements by Netscape and Microsoft that upcoming versions of the leading Web browsers, Netscape Navigator and Internet Explorer, will incorporate XML support.

While XML is still in its infancy, there are many well-documented applications of XML. Example application domains include Web commerce, publishing,

repositories, modeling, databases and data warehouses, services, financial, health care, semiconductors, inventory access, and more.

5 XML is gaining widespread acceptance as the de facto standard for representing structured information in the context of the Worldwide Web and beyond. The XML language is defined by the Worldwide Web's "Extensible Markup Language (XML) Recommendation 1.0" document [REC-xml-19980210]. This definition includes a specification of XML in Extended Backus-Naur Form (EBNF) notation.

Repositories provide a central place for recording metadata and enable one to store, manage, share and reuse information about data (i.e., metadata) that an enterprise uses. A repository can store definitional, management and operational information. Tools can be integrated with the repository to support information sharing and metadata reuse, and tool and technology models may be developed to manipulate the tool information in the repository. However, the transferring of data within models, from tool to tool, or from a tool to the repository has been a cumbersome and unyielding task for a long time. Previous Interchange mechanisms have typically used extensible structured references; and the MOF user programmatic representation.

SUMMARY OF THE INVENTION:

30 An object of the present invention is to integrate three disciplines so far not integrated: the Unified Modeling Language ("UML"), Meta Object Facility

("MOF") Modeling, and XML. That is, the present invention uses models defined in UML, registers them in a MOF compliant repository and generates XML Document Type Definitions ("MOF") and XML streams or documents.

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It is another object of the present invention to provide a system and method that employs XML Metadata Interchange ("XMI") for stream-based interchange of metadata.

10

Yet another object of the present invention is to provide Metadata Interchange for developers using a system and method that employs UML notation for representing models and meta-models.

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Still another object of the present invention is to provide a system and method that employs standard information models (e.g., UML) to describe the semantics of object analysis and design models, while extending this capability to provide automated Metadata Interchange.

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Still another object of the present invention is to provide a method and system for interchanging metadata for any MOF metamodel.

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There are many advantages in basing metadata interchange format on XML. These include:

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- XML is an open, platform independent and vendor-independent standard.
- XML supports the international character set standards of extended ISO Unicode.

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- XML is meta-model neutral and can represent meta-models compliant with meta-meta-model, the MOF an OMG standard, the specification of which was led by Unisys, assignee hereof, and is covered by U.S. Patent No. 5,644,764.
- The XML standard itself is programming language-neutral and API-neutral. A range of XML APIs are available, giving the programmer a choice of access methods to create, view and integrate XML information. Leading XML APIs include DOM, SAX, and Web-DAV.
- The cost of entry for XML information providers is low. XML documents can currently be created by hand using any text editor. In the future, XML-based WYSIWYG ("What You See Is What You Get") editors with support for XSL rendering will allow creation of XML documents. XML's tag structure and textual syntax make it as easy to read as HTML, and is clearly superior for conveying structured information.
- The cost of entry for automatic XML document producers and consumers is low. A growing set of tools is available for XML development. This includes a complete, free, commercially unrestricted XML parser written in Java readily available from many sources, including IBM. A variety of other XML support tools including implementations of the XML APIs are available on the Internet.

These and other objects, which will become apparent as the invention is described in detail below, are provided by a method for effecting data interchange among software tools and repositories in a distributed
5 heterogeneous environment, which includes a computer system having at least one repository of a first type and at least one software modeling tool of a second type. The method includes the steps of registering and storing metadata describing a meta model in the repository.
10 Next, a set of rules and streams of data are generated based on the rules, and then documents conforming to each of the metamodels are generated by reading the set of rules. An importer is written for use in importing into the repository the streams of data; and, an exporter is
15 written for use in exporting from the repository the streams of data.

Still other objects, features and advantages of the present invention will become readily apparent to
20 those skilled in the art from the following detailed description, wherein is shown and described only the preferred embodiment of the invention, simply by way of illustration of the best mode contemplated of carrying out the invention. As will be realized, the invention is
25 capable of other and different embodiments, and its several details are capable of modifications in various obvious respects, all without departing from the invention. Accordingly, the drawings and description are to be regarded as illustrative in nature, and not as
30 restrictive, and what is intended to be protected by Letters Patent is set forth in the appended claims. The present invention will become apparent when taken in

conjunction with the following description and attached drawings, wherein like characters indicate like parts, and which drawings form a part of this application. For example, while XMI is initially expected to be used in modeling tools and repositories, it is soon expected to be used in data warehouses, enterprise application integration, such as supply chain management.

BRIEF DESCRIPTION OF THE DRAWINGS:

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FIG. 1 is a block diagram of a system that may employ the method and system of the present invention, including software modules of the invention in a development environment.

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FIG. 2 is a diagram illustrating the use of XMI to integrate modeling and other software tools with the Web.

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FIG. 3 is a block diagram of software modules in a run-time framework that may employ the present invention.

FIG. 4 is a matrix diagram showing the levels of abstraction of data in a meta-model architecture of the corresponding data-interchange formats.

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FIG. 5 is a block diagram of an implementation of the meta-model architecture of FIG. 3.

FIG. 6 is a diagram illustrating an exemplary use of XMI in the translation of a meta-meta model from a MOF tool to an UML tool to a data warehouse model, etc.

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DETAILED DESCRIPTION OF ONE EMBODIMENT:

Before proceeding with a description of the system and method of the present invention, a summary of

Terminology used herein is provided, which may be helpful in understanding the disclosed embodiment.

5 An object is an abstract representation of a real-world concept or thing. For example, an object can be used to represent a customer account in a banking application. An object has features, which can be either an operation or a property. An operation defines an action that an object can perform, or an action that can
10 be performed on the object. For example, "make withdrawal" could be defined as an operation on a customer account object. Properties indicate the state of an object. Every property of an object has a value, and it is the property values that define the state of the
15 object. A property can be either an attribute or a reference. An attribute defines a value that is stored within the object. For example, "current account balance" could be an attribute of the customer account object. The numeric value for the customer's account balance would be
20 stored in the customer account object. A reference is a link or pointer to another object, and implies a relationship to that other object. A reference is typically used when it is desired not to duplicate data. For example, the customer account object could store the
25 customer's name and address as attributes. However, if the customer opened multiple accounts, the customer's name and address would appear in multiple account objects. Therefore, it is desirable to define a separate customer object and place the name and address as attributes of the
30 customer object. The customer account object would then contain a reference to the customer object.

The prefix "meta" as used herein shall describe a relationship as well as a concept. For example, "metadata" describes data. In a similar fashion, a meta-object is an object that represents "metadata"; and, "meta-model" means a model that defines an abstract language for expressing other models. A "meta-meta-model" means a model that defines an abstract language for expressing meta-models. The relationship between a meta-meta-model and a meta-model is analogous to the relationship between a meta-model and a model. The term model is generally used herein to denote a description of something in the real world. The concept of a model is highly fluid, and depends upon one's point of view. For example, where one is building an entire system, a model may include all of the metadata for the system. On the other hand, others are only concerned with certain components (e.g. programs A and B) or certain kinds of detail (e.g. wiring diagrams) of the system.

20 Metadata is a general term for data that in
some sense describes information. The information so
described may be information represented in a computer
system; e.g., in the form of files, databases, running
program instances and so on. Alternatively, the
25 information may be embodied in a system, with the
metadata being a description of some aspect of the system
such as a part of its design. Metadata is itself
information, and can accordingly be described by other
metadata. In MOF terminology, metadata that describes
30 metadata is called meta-metadata, and a model that
consists of a meta-metadata is called a meta-model.

Users of workgroup-based and component development tools are finding it increasingly difficult to coordinate their software development efforts across the enterprise. A solution in accordance with the present invention employs the benefits of XMI (XML Metadata Interchange), which is an open industry standard that combines the benefits of the Web-based XML standard. The invention defines, validates and shares document formats on the Web with the Meta Object Facilities to provide a means for generating models to allow the development tools to share information. One use of the present invention is to define an XML DTD for the object-oriented UML. The XML Modeling Interface ("XMI") disclosed herein provides application developers with a common language for specifying transfer syntax for information interchange between development languages that allow visualizing, constructing and documenting of distributed objects and business models. Each transfer syntax in XMI is defined by a DTD. An implementation of the XMI specification as embodied in the present invention will enable integration of development tools from multiple vendors, collaboration and distribution of object-oriented design and database schema information, and enhancement of the life cycle of information resources.

Software architectures based on meta models are transforming the way designs may be implemented for dynamic distributed systems. The UML and MOF specifications establish a robust meta model architecture for distributed object applications. The XMI specification extends this architecture by leveraging

technologies developed for the Web to exchange information between tools, applications and repositories.

The present invention contemplates the implementation of a framework for stream-based Model Interchange Format for exchanging metadata based on the Worldwide Web Consortium ("W3C") Extensible Markup Language (XML). The XML-based Metadata Interchange (XMI) of the present invention has two major components:

- The XML Document Type Definitions ("DTD") Production Rules for producing XML DTDs for XMI encoded metadata are specified in the above-cited patent applications, Serial Nos. 09/282,345; 09/282,102; and, 09/282,230. XMI DTDs serve as syntax specifications for XMI documents, and allow generic XML tools to be used to compose and validate XMI documents.
- The XML Document Production Rules for encoding metadata into an XML compatible document. The production rules can be applied in reverse to decode XMI documents and reconstruct the metadata.
- XMI is an OMG standard and its standardization was led by Unisys, assignee hereof. Reference is made herein to the XML Metadata Interchange (XMI) Proposal to the OMG OA&DTF RFP 3: Stream-based Model Interchange Format (SMIF), dated October 20, 1998.

A DTD is XML's way of defining the syntax of an XML document. An XML DTD defines the different kinds of elements that can appear in a valid document, and the patterns of element nesting that are allowed.

5

For example, a DTD for a Car could contain the following declaration:

```
<!Element Car (Make, Model, Year, Color, Price)>
```

10

This indicates that for a Car, the DTD must contain each of the Make, Model, Year, Color, and Price elements. The declaration for an element can have a more complex grammar, including multiplicities such as '?' meaning zero to one, '1' meaning one, '*' meaning zero or more, and '+' meaning one or more. Reference is made to a White Paper by S. Brodsky of IBM, entitled "XMI Opens Application Interchange", dated 03/30/99, which may be found on the Internet at:

20

<http://www.software.ibm.com/ad/standards/xmiwhite0399.pdf>

The XMI system and method of the present invention supports the interchange of any kind of metadata that can be expressed using the MOF specification, including both model and meta-model information. The invention supports the encoding of metadata consisting of both complete models and model fragments, as well as tool-specific extension metadata. XMI has optional support for interchange of metadata in differential form. The present invention uses XMI for metadata interchange with and between non-CORBA based metadata repositories and tools also.

XML documents are tree-based structures of matched tag pairs containing nested tags and data. In combination with its advanced linking capabilities, XML can encode a wide variety of information structures. The rules that specify how the tags are structured are called a Document Type Declaration or DTD.

In the simple case, an XML tag consists of a tag name enclosed by less-than ('<') and greater-than ('>') characters. Tags in an XML document always come in pairs consisting of an opening tag and a closing tag. The closing tag in a pair has the name of the opening tag preceded by a slash symbol. Formally, a balanced tag pair is called an element, and the material between the opening and closing tags is called the element's content. The following example shows a simple element:

```
<Dog>a description of my dog</Dog>
```

The content of an element may include other elements which may contain other elements in turn. However, at all levels of nesting, the closing tag for each element must be closed before its surrounding element may be closed. This requirement to balance the tags is what provides XML with its tree data structure and is a key architectural feature missing from HTML.

This is a simple example document describing a Car. (New lines and indentation have no semantic significance in XML. They are included here simply to highlight the structure of the example document.)

```
<Car>
```

5 <Make> Ford </make>
 <Model> Mustang </Model>
 <Year> 1998 </Year>
 <Color> red</Color>
 <Price> 25000 </Price>
 <Car>

 The Car element contains five nested elements
which describe it in more detail: Make, Model, Year,
10 Color, and Price. The content of each of the nested
elements encodes a value in some agreed format.

 In addition to contents, an XML element may
contain attributes. Element attributes are expressed in
15 the opening tag of the element as a list of name value
pairs following the tag name. For example:

 <Class xml.label="c1"> </Class>

 XML defines a special attribute, the ID, which
20 can be used to attach a unique identifier to an element
in the context of a document. These ID's can be used to
cross-link the elements to express meaning that cannot be
expressed in the confines of XML's strict tree structure.

25 Referring now to FIG. 1, a block diagram of the
system that may employ the present invention, including
software modules thereof, is shown in a development
environment. A server 10 executes a variety of software
including a repository 11 and object services 12. The
30 repository 11 includes a set of repository services 13,
which also couple the repository to an object request
broker ("ORB") 14. The object services 12 also couples

the server to the ORB 14. It is noted that a TCP/IP connection will suffice in lieu of the ORB 14. The XML Documents may also be physically exchanged using a storage medium, such as a floppy disk. A first tool 15, which is being executed by a first workstation 16, is coupled to the ORB 14. In a similar manner, a second tool 17, which is being executed by a second workstation 18, is also coupled to the ORB 14.

In the disclosed embodiment, the repository 11 is a specialized, extensible object-oriented database application that adds value to a database system, which allows customization of a particular domain (such as application development).

The repository 11 further includes methods for cataloging, browsing, modeling, and managing components that make up an application. Methods to support these services are disclosed in several patents and patent applications assigned to the assignee of this patent application, including U.S. Patent 5,671,398 for METHOD FOR COLLAPSING A VERSION TREE WHICH DEPICTS A HISTORY OF SYSTEM DATA AND PROCESSES FOR AN ENTERPRISE; U.S. Patent 5,644,764 for METHOD FOR SUPPORTING OBJECT MODELING IN A REPOSITORY; U.S. Patent 5,581,755 for METHOD FOR MAINTAINING A HISTORY OF SYSTEM DATA AND PROCESSES FOR AN ENTERPRISE; U.S. Patent 5,557,793 for IN AN OBJECT ORIENTED REPOSITORY, A METHOD FOR TREATING A GROUP OF OBJECTS AS A SINGLE OBJECT DURING EXECUTION OF AN OPERATION; U.S. Patent 5,889,992, for A METHOD FOR MAPPING TYPES IN A MODEL IN A OBJECT-ORIENTED REPOSITORY TO LANGUAGE CONSTRUCTS FOR A C BINDING FOR THE

REPOSITORY; U.S. Patent 5,721,925, for METHOD FOR
GENERICALLY INVOKING OPERATIONS IN AN OBJECT ORIENTED
REPOSITORY; U.S. Patent 5,848,273, for A METHOD FOR
GENERATING OLE AUTOMATION AND IDL INTERFACES FROM
5 METADATA INFORMATION; U.S. Patent 5,765,039 for A METHOD
FOR PROVIDING OBJECT DATABASE INDEPENDENCE IN A PROGRAM
WRITTEN USING THE C++ PROGRAMING LANGUAGE; U. S. Patent
5,758,348, for A METHOD FOR GENERICALLY MANIPULATING
PROPERTIES OF OBJECTS IN AN OBJECT ORIENTED REPOSITORY;
10 U.S. Patent 5,701,472, for A METHOD FOR LOCATING A
VERSIONED OBJECT WITHIN A VERSION TREE DEPICTING A
HISTORY OF SYSTEM DATA AND PROCESSES FOR AN ENTERPRISE;
pending application Serial No. 08/655,553, filed on May
30, 1996, for A METHOD FOR PACKING/UNPACKING C OPERATIONS
15 TO/FROM RPC COMPATIBLE FORMAT USING THE RPC PROTOCOL TO
OPERATE REMOTELY WITH AN OBJECT-ORIENTED REPOSITORY;
pending application Serial No. 08/934,833, filed on
September 22, 1997, for TOOL-INDEPENDENT APPLICATION
DEVELOPMENT; and, pending application Serial No.
20 08/934,834, filed on September 22, 1997, for EXCHANGING
INFORMATION BETWEEN DIFFERENT OBJECT MODELS AND UML; each
of which are hereby incorporated by reference as if set
forth in full herein.

25 Repository models typically contain classes,
data-types and operations. As more and more complex
models are being built, the need arises for a method and
system to transfer data in a model from place to place;
e.g., from a UML ("Unified Modeling Language") compliant
30 tool to a MOF compliant repository. The present
invention helps solve this problem by providing a means
to enable easy interchange of metadata between modeling

tools that are based on the Object Management Group UML and repositories that are based on OMG Meta Object Facility in distributed heterogeneous environments. The present invention integrates three key industry standards in the repository 11:

- XML, which is eXtensible Mark Language, a World Wide Web Consortium standard;
- UML, the Unified Modeling Language, an OMG modeling standard; and,
- MOF, the Meta Object Facility, an OMG meta-modeling and metadata repository standard.
- The present invention also allows for the exchange of information within non-UML models.

The integration alluded to above is illustrated in FIG. 2, wherein the UML metamodel analysis and design 21 are registered in a MOF model 20 in the repository 11 for managing and discovery. The XMI 19 is used to generate DTDs and streams (i.e., documents) for XML Exchange 25 between various tools, the repository and one or more tools or even between repositories. The XMI 19, together with MOF 20 and UML 21 form the core of the repository 11. The UML 21 standard defines a rich, object-oriented modeling language that is supported by a range of graphical design tools. The MOF 20 standard defines an extensible framework for defining models for metadata, and providing tools with programmatic interfaces to store and access metadata in the repository 11. The XMI 19 allows metadata to be interchanged as streams or files with a standard format based on XML.

This architecture offers a wide range of implementation choices to developers of tools, repositories and object frameworks. An XML Exchange 22 is a standard, which allows interchange of information between tools and repositories. This exchange is illustrated in FIG. 1 by arrows 22A, 22B and 22C.

Referring now to FIG. 3, a software module block diagram of an exemplary run-time framework that may employ the method and system of the present invention is shown. A UML meta-model 21 is analyzed and designed before being populated with MOF meta-model definitions and management 20. The result is provided to the XMI 19 along with XML syntax and encoding 25. By the process of the present invention, UML and MOF DTD and XML data streams (e.g., documents) 28 are produced. Also, in the future the Common Warehouse Metadata Interchange, DTD and XML streams 29 may be produced along with CORBA DTD and XML streams 30. The present invention generates DTDs and streams for MOF compliant software models. In summary, if a set of concepts can be defined using MOF, the system can generate corresponding DTDs and streams.

25 XMI is an interchange format for metadata that is defined in terms of the Meta Object Facility (MOF) standard. The MOF technology was adopted by OMG for defining metadata and representing it as CORBA objects.

The MOF supports any kind of metadata that can
30 be described using object modeling techniques. Such
metadata may describe any aspect of a system and the
information it contains, and may describe it to any level

of detail and rigor, depending upon the metadata requirements.

MOF-based metadata is for use in a wide range
5 of CORBA and non-CORBA related applications. For example:

- metadata repositories and tools that will support the process of analysis, design and development of CORBA-based software;
- 10 • metadata repositories that will support infrastructure services such as COS Trading, COS Events and ultimately the CORBA Interface Repository itself;
- 15 • metadata repositories that will support data warehousing, data mining and database interoperability; and,
- metadata that will be used to describe free-text data sources such as on-line document collections and the worldwide web.

In the MOF context, the term *model* has a broader meaning. Here, a model is any collection of metadata that is related in the following ways:

- 25 • The metadata describes information that is itself related in some way;
- The metadata all conforms to rules governing its structure and consistency; i.e. it has a common *abstract syntax*; and,
- 30 • The metadata has meaning in a common (often implied) semantic framework.

The purpose of XML is to allow the interchange of models in a serialized form. Since the MOF is the OMG's adopted technology for representing metadata, it is natural the XMI proposal should focus on the interchange of MOF metadata; i.e., metadata that conforms to a MOF meta-model. In fact, XMI is really a pair of parallel mappings between MOF meta-models and XML DTDs, and between MOF metadata and XML documents.

XMI represents a new method for transferring metadata from one repository to another. Since XMI is a transfer format rather than a CORBA interface, there is no need for an ORB to ORB connectivity to effect the transfer; in fact any mechanism capable of transferring ASCII text will do, including storage media such as floppy disks or computer networks. Thus, XMI enables a new form of metadata interchange that significantly enhances the usefulness of the MOF.

XMI can be viewed as a common metadata interchange format that is independent of middleware technology. Any metadata repository or tool that can encode and decode XMI streams can exchange metadata with other repositories or tools with the same capability. There is no need to implement the MOF defined CORBA interfaces.

Referring now to FIG. 4, a matrix diagram showing the levels of abstraction of data in a meta-model architecture of corresponding data-interchange formats is shown. While there are typically four layers in a MOF-based metadata stack, the number of layers can be one or

less than this. In the example shown in FIG. 4, the MOF meta-metamodel is an M3-level model in a 4-level stack. The "meta" prefix should be viewed in a relative rather than absolute sense. Similarly, the numbering of meta-

5 levels is not absolute. The first column list the level, the second column lists metadata, which is programmatic, while the third column list the XMI DTSS, which relate to documents. The fourth column identifies the documents.

10 As stated above, it is an object of the present invention to provide a method and system for interchanging metadata for any MOF metamodel. Accordingly, DTD generation and stream production rules are set forth that can be used to transfer any model

15 described by a MOF metamodel; i.e., any metamodel that is defined in the "abstract language" of the MOF Model. Since the MOF Model is itself described as a MOF metamodel, the invention also allows interchange of metamodels and even the MOF Model itself. Since one is

20 able to the abstract to levels of the MOF, the present invention enables one to generate the import/export routines or programs for any MOF compliant model.

FIG. 4 shows how XMI artifacts fit into the

25 four-layer metadata architecture. An XMI document (M1 el) is used to transfer an M1-level model. This is described by an XML DTD (M2 level) that corresponds to the MOF metamodel for the metadata (also M2 level). For example, a UML model would be encoded against a UML DTD,

30 which corresponds to the UML metamodel. MOF compliant metamodels can be interchanged at the next meta-level in the metadata architecture. Thus, an M2 level metamodel

such as the UML metamodel can be encoded against the M3 level XML DTD for the M3 level MOF Model.

Referring now to FIG. 5, a block diagram of an implementation of the meta-model architecture of the present invention is shown. First, a modeling tool 35 containing a metamodel description passes the model through a UML to MOF conversion 36 for storage in a MOF repository 37 as a metamodel (UML). Such a conversion may be made by use of the method disclosed in the above-cited co-pending application, Serial No. 09/322,137. Next, DTDs 39 in UML, or Common Warehouse Metadata Interchange ("CWM") or others, are created by a DTD generation 38. The method to accomplish the DTD generation may be accomplished by using a method disclosed in one of the three above-cited co-pending applications Serial Nos. 09/282,102, 09/282,230, or 09/282,345. Alternatively, a UML compliant tool 40 uses an import/export process 41 to store a metamodel in the MOF repository 37. The UML in the tool 40 is also capable of generating XML documents 42 in UML, or CWM, or others. Import is a process of reading models as XMI streams that conform to a particular DTD. Export is a process of transferring XMI streams that conform to a particular model using a specific DTD.

Referring now to FIG. 6, a diagram illustrating an exemplary use of XMI in the use of a meta-meta model to define UML, UML-Warehouse-Map, Data Warehouse Meta model is shown. UML models 50, UML-Warehouse Maps 51 and Data Warehouse Schemas 52 correspond to the M1 level of models shown in FIG. 4. A UML metamodel (DTD) 53, a UML Warehouse Map Metamodel (DTD) 54 and a Data Warehouse

metamodel (DTD) 55 are all on the M2 level, whereas a MOF meta-metamodel 56 is on the M3 level.

FIG. 6 illustrates how multiple meta models 53, 54 and 55 can be defined by a MOF model 56 and stored in a MOF repository. Also, it is shown how UML model 50 can be defined by UML meta model 53 and stored in a UML repository. In a similar manner, UML Warehouse Map 51 can be defined by UML Warehouse Map meta model 54; and, Data Warehouse Schemas 52 can be defined by Data Warehouse meta model 55.

Finally, an MOF/XMI mapping tool can read all the information in the UML models 50, the UML meta model 53; as well as the Data Warehouse Schemas 52 and the Data Warehouse meta model 55, and enable transformation between UML metadata and Data Warehouse metadata using the mapping rules specified in the UML Warehouse Map 51.

The methods and apparatus of the present invention, or certain aspects or portions thereof, may take the form of program code (i.e., instructions) embodied in tangible media, such as floppy diskettes, CD-ROMS, hard drives, or any other machine-readable storage medium, wherein, when the program code is loaded into and executed by a machine, such as a computer, the machine becomes an apparatus for practicing the invention. The methods and apparatus of the present invention may also be embodied in the form of program code that is transmitted over some transmission medium, such as over electrical wiring or cabling, through fiber optics, or via any other form of transmission, wherein, when the

program code is received and loaded into and executed by
a machine, such as a computer, the machine becomes an
apparatus for practicing the invention. When implemented
on a general-purpose processor, the program code combines
5 with the processor to provide a unique apparatus that
operates analogously to specific logic circuits.

Although the invention has been described with
reference to a specific embodiment, this description is
10 not meant to be construed in a limiting sense. Various
modifications of the disclosed embodiment as well as
alternative embodiments of the invention will become
apparent to one skilled in the art upon reference to the
description of the invention. It is therefore
15 contemplated that the appended claims will cover any such
modifications of embodiments that fall within the true
scope of the invention.

WHAT IS CLAIMED IS:

1 1. In a computer system having at least one
2 repository of a first type and at least one software
3 modeling tool of a second type coupled together in a
4 distributed heterogeneous environment, a method for
5 effecting data interchange among software tools and
6 repositories in said environment, said method comprising
7 the steps of:

8 a. registering and storing said metadata
9 describing a meta model in said repository;

10 b. generating a set of rules and streams of
11 data based on said rules;

12 c. generating documents conforming to each of
13 said metamodels by reading said set of rules;

14 d. writing an importer for use in importing
15 into said repository said streams of data; and,

16 e. writing an exporter for use in exporting
17 from said repository said streams of data.
18

1 2. The system as in Claim 1 wherein said
2 repository of a first type is MOF-based.
3

1 3. The system as in Claim 1 wherein said software
2 tool of a second type is UML-based.
3

1 4. The system as in Claim 1 wherein said rules
2 are XML Document Type Definitions.
3

1 5. The system as in Claim 1 wherein said streams
2 of data are XML Metadata Interchange.

3

1 6. A storage medium encoded with machine-readable
2 computer program code for effecting data interchange
3 among software tools and repositories in a distributed
4 heterogeneous environment, wherein, when the computer
5 program code is executed by a computer system having at
6 least one repository of a first type and at least one
7 software tool of a second type, the computer performs the
8 steps of:

9 a. registering and storing said metadata
10 describing a meta model in said repository;

11 b. generating a set of rules and streams of
12 data based on said rules;

13 c. generating documents conforming to each of
14 said metamodels by reading said set of rules;

15 d. writing an importer for use in importing
16 into said repository said streams of data; and,

17 e. writing an exporter for use in exporting
18 from said repository said streams of data.

19

1 7. The storage medium as in Claim 6 wherein said
2 repository of a first type is MOF-based.

3

1 8. The storage medium as in Claim 6 wherein said
2 software tool of a second type is UML-based.

3

1 9. The storage medium as in Claim 6 wherein said
2 rules are XML Document Type Definitions.

3

1 10. The storage medium as in Claim 6 wherein said
2 streams of data are XML Metadata Interchange.

3

11. In a computer system having at least one MOF-based repository and at least one UML-based software modeling tool coupled together in a distributed heterogeneous environment, a method for effecting data interchange among software tools and repositories in said environment by generating XML Document Type Definitions ("DTDs") and XMI streams, said method comprising the steps of:
- a. registering and storing said metadata describing a UML-based meta model in said MOF-based repository;
 - b. generating XML DTDs of said UML-based metamodel;
 - c. generating XML documents conforming to each of said UML-based metamodels by reading said XML DTDs;
 - d. writing an importer for use in importing into said MOF-based repository said XMI streams; and,
 - e. writing an exporter for use in exporting from said repository said XMI streams.

TITLE: A META DATA DRIVEN SYSTEM AND METHOD FOR
EFFECTING EXTENSIBLE DATA INTERCHANGE AMONG SOFTWARE
5 TOOLS IN A DISTRIBUTED ENVIRONMENT

ABSTRACT OF THE DISCLOSURE:

A method is disclosed for effecting data
10 interchange among software tools and repositories in a
distributed heterogeneous environment in a computer
system having at least one repository of a first type and
at least one software modeling tool of a second type.
The method includes the steps of registering and storing
15 metadata describing a meta model in the repository.
Next, a set of rules and streams of data are generated
based on the rules, and then documents conforming to each
of the metamodels are generated by reading the set of
rules. An importer is written for use in importing into
20 the repository the streams of data; and, an exporter is
written for use in exporting from the repository the
streams of data.

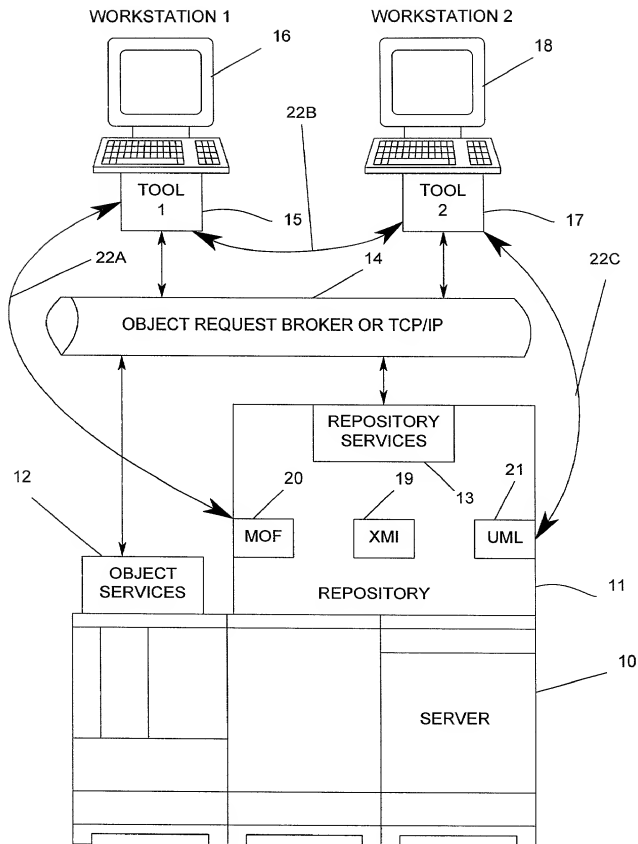


FIG. 1

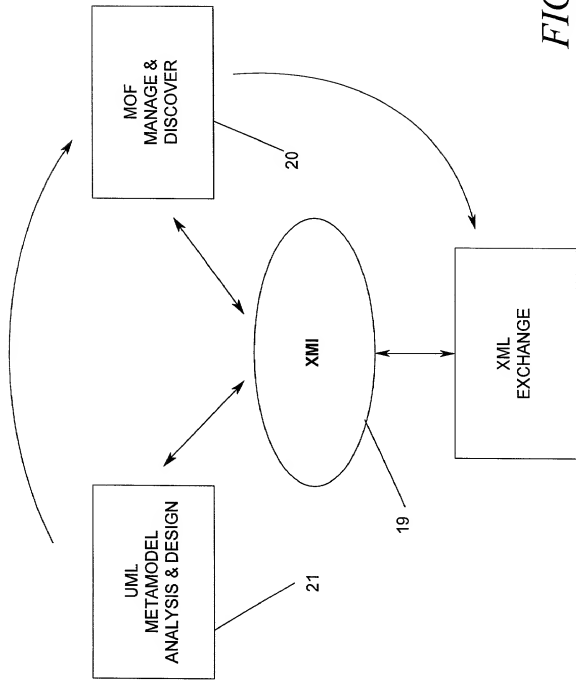


FIG. 2

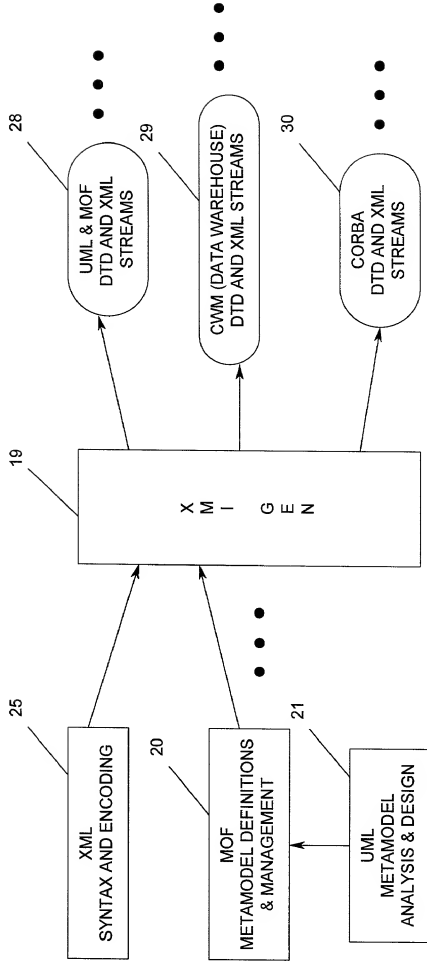


FIG. 3

META LEVEL	METADATA	XMI DTD'S	XMI DOCUMENTS
M3	MOF META-METAMODEL	MOF AS XML DTD	
M2	UML & OTHER METAMODELS	UML & OTHERS AS XML DTD'S	MOF METAMODELS AS XML DOCUMENTS
M1	MODEL		UML & OTHER MODELS AS XML DOCUMENTS
M0	INSTANCES		

FIG. 4

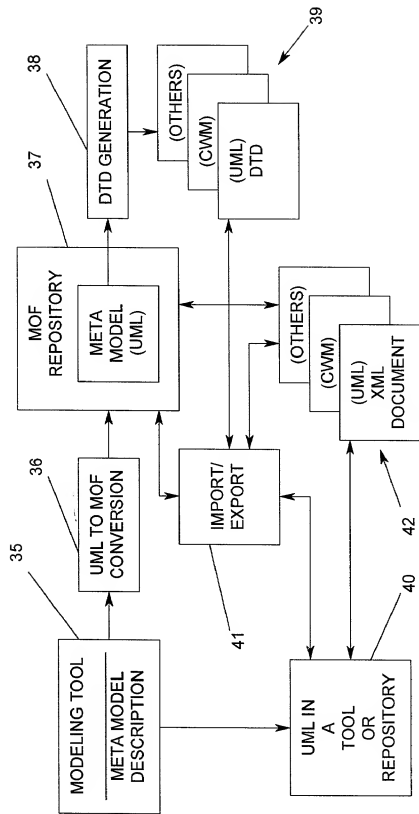


FIG. 5

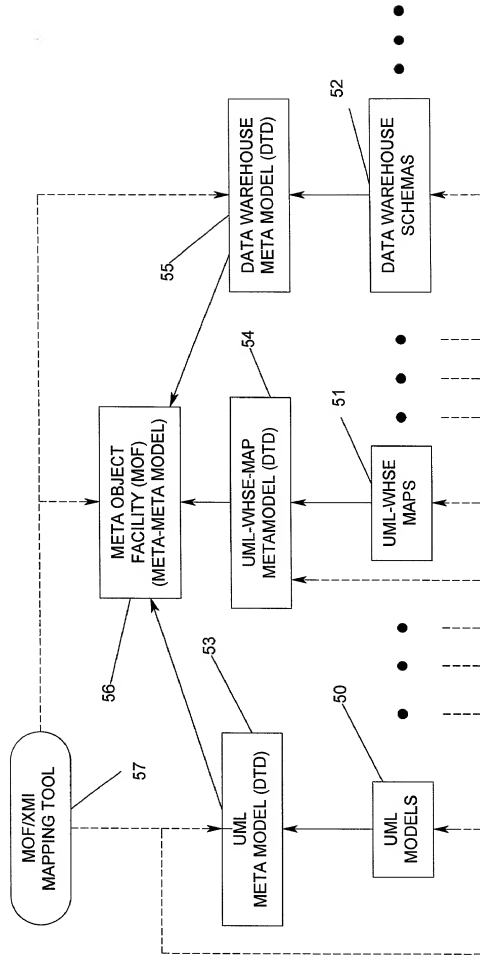


FIG. 6

Attorney's Docket No. 04MV1073

COMBINED DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

TYPE OF DECLARATION

This declaration is of the following type:

- ☒ original
- ☐ design
- ☐ supplemental
- ☐ divisional
- ☐ continuation
- ☐ continuation-in-part (CIP)

INVENTORSHIP IDENTIFICATION

My residence, post office address and citizenship are as stated below next to my name, I believe I am the original, first and sole inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

TITLE OF INVENTION

A METADATA DRIVEN SYSTEM AND METHOD FOR EFFECTING EXTENSIBLE DATA INTERCHANGE AMONG SOFTWARE TOOLS IN A DISTRIBUTED ENVIRONMENT

SPECIFICATION IDENTIFICATION

the specification of which: (complete (a), (b) or (c))

(a) ☒ is attached hereto.

(b) ☐ was filed on _____ as ☐ Serial No. 0 / _____
or ☐ Express Mail No., as Serial No. not yet known _____

ACKNOWLEDGEMENT OF REVIEW OF PAPERS AND DUTY OF CANDOR

I hereby state that I reviewed and understand the contents of the above identified specification, including the claims, as amended by an amendment referred to above.

I acknowledge the duty to disclose information

- which is material to patentability as defined in 37, Code of Federal Regulations, § 1.56

and which is material to the examination of this application, namely, information where there is a substantial likelihood that a reasonable examiner would consider it important in deciding whether to allow the application to issue as a patent, and

- ☐ In compliance with this duty there is attached an information disclosure statement in accordance with 37 CFR 1.98.

POWER OF ATTORNEY

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

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DECLARATION

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

SIGNATURE(S)

Full name of sole or first inventor Sridhar Srinivasa Iyengar

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(GIVEN NAME)

Srinivasa
(MIDDLE INITIAL OR NAME)

Iyengar
FAMILY (OR LAST NAME)

Inventor's signature



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